



RECEIVED
JUL 29 2004
GROUP 3600

AF 3628
H27299
802
10269-11CIP
(HSX/001 CIP2) 23

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Timothy Maxwell Keiser, et al.
Application No. : 09/382,907 Confirmation No. : 5840
Filed : August 25, 1999
For : COMPUTER-IMPLEMENTED SECURITIES
TRADING SYSTEM WITH A VIRTUAL
SPECIALIST FUNCTION
Group Art Unit : 3623
Examiner : Akiba K. Robinson Boyce

New York, New York 10020
July 20, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,
applicants hereby make the following document of record in
the above-identified patent application:

U.S. Patent Document

6,263,321 July 17, 2001 Daughtery, III, Vergil L.

A copy of the document is provided.

This Statement is being submitted after the mailing
of a First Office Action on the merits. Accordingly,
applicants have enclosed a check in the amount of \$180.00 in

07/27/2004 AOSMAN1 00000001 09382907

01 FC:1806

180.00 OP

RECEIVED
JUL 29 2004
GROUP 3500

payment of the fee for submission of an Information Disclosure Statement in accordance with 37 C.F.R. § 1.97 (c) (2). The Director is hereby authorized to charge payment of any additional fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075.

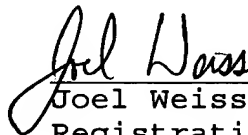
It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application.

Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

A duplicate copy of this Supplemental Information Disclosure Statement is enclosed herewith.

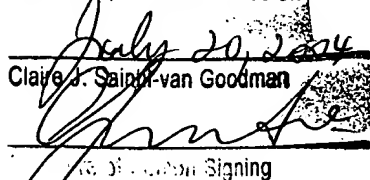
Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,



Joel Weiss
Registration No. 44,398
Attorney for Applicants
FISH & NEAVE
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1104
Tel.: (212) 596-9000
Fax: (212) 596-9090

I hereby certify that this Correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope Addressed to:
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450 on


Claire J. Saint-van Goodman
Director of Patent Signing

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.
10269-11CIP
(HSX/001CIP2)

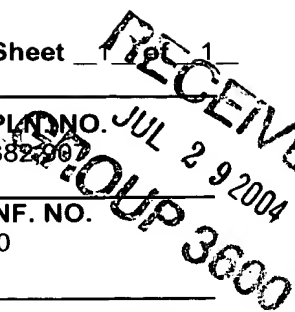
APPL. NO.
09/382,207

SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

APPLICANTS
Timothy Maxwell Keiser,
et al.

CONF. NO.
5840

FILING DATE
August 25, 1999

GROUP ART UNIT
3623


U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,263,321	07/17/2001	Daughtery, III, Vergil L.	705	36	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.